

Image Processing System Evaluation Form

Mailing: PO Box 307, Trenton, NJ 08625-0307

Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618-3226

609.530.3200 (p)

609.530.6121 (f)

DIVISION of ARCHIVES &
NJDARM
RECORDS MANAGEMENT
www.njarchives.org



Below are the instructions for inputting information in the *Image Processing System Evaluation Form*. Please review these instructions before completing this form for submission to the Division of Archives and Records Management (DARM). The form may be completed as an electronic document, printed and signed or may be printed, typed on, and signed. Should you choose to complete the document electronically, the completed document need not be limited to the existing 4 pages. Should you choose to print and type and there is not adequate space on the form, attach additional page(s) with correspondingly numbered answers. In either case feel free to attach any pertinent documents in lieu of completing any portion of the form, as long as it is referenced to the correct item #. Please return the form, with any additional documentation attached to:

Daniel W. Noonan, MLS, CDIA+
Coordinator, Public Records Image Processing System Certification Department
Division of Archives & Records Management
PO Box 307
Trenton, NJ 08625-0307

The normal time for review of submissions is within two weeks of receipt of the *Image Processing System Evaluation Form* by DARM. DARM personnel will review it for compliance and may request additional information for clarification. A site visit will be scheduled to provide DARM personnel the opportunity to observe the image processing system and the agency's workflow.

Should you have additional questions, please contact one of the following:

Daniel W. Noonan: Supervisor, Electronic Records Management
Coordinator, Public Records Image Processing System Certification
609.530.5874 or daniel.noonan@sos.state.nj.us

Albin Wagner: Chief, Bureau of Records Management
609.530.3204 or albin.wagner@sos.state.nj.us

Please indicate whether this is an application for an "In-house Image Processing System" or for a "Service Bureau Image Processing System".

1. AGENCY PROFILE (N.J.A.C. 15:3-5.5(E)1):

The information requested here is fairly self-explanatory. It is key to identify the specific Department/Division/Bureau within an agency. The "Legal Custodian of Records" is the person established by law who is legally responsible for the records and their retention (e.g.

NEW JERSEY PUBLIC RECORDS

IMAGE PROCESSING SYSTEM EVALUATION FORMS INSTRUCTIONS

the municipal clerk for all municipal records or the agency/department head for State agency or departmental records). The "Agency/MIS Representative" is the person who will be managing the image processing system on a day-to-day basis. He/she may or may not be the same person as the "custodian".

2. RECORDS MANAGEMENT/INDEXING(N.J.A.C. 15:3-5.5(E)2):

- **Items 2.1:** List the records series titles and descriptions as found on the agency's associated records retention schedules, and the inclusive dates (e.g. date forward, 2000 to current, etc.) for those series the Agency intends to image. If the list is significantly large, the Agency may wish to attach the appropriate record series and retention schedules.
- **Item 2.2:** If approved records retention schedules and routine records disposal practices *are not* being utilized by the Agency, an explanation must be included. Agencies may need to request revised retention schedule(s) and disposal methods for image processed records.
- **Item 2.3:** Indexing for the image processing system **MUST** at a minimum have the same functionality as the existing records management system. Please note any enhancement to the indexing that the Agency may be considering.
- **Item 2.4:** List the office(s) (Records Management Unit, IT Department, Service Bureau, or other unit) that oversee(s) the day-to-day management of the image processing system.

3. FEASIBILITY STUDY/REQUEST FOR PROPOSAL (N.J.A.C. 15:3-5.5(E)3):

Feasibility studies, Requests for Information (RFIs), Requests for Bids (RFBs), and Requests for Proposals (RFPs) are not required, however, they are strongly recommended. If a feasibility study was conducted and/or an RFI/RFP/RFB prepared prior to the selection, purchase and implementation of the image processing system, then mark "Yes" and submit a copy of each along with the *Image Processing System Evaluation Form*, or make them available for review during the site visit.

4. SYSTEM CONFIGURATION& DOCUMENTATION (N.J.A.C. 15:3-5.5(E)4 & 8):

This section may either be completed on the form or with appropriate documentation attached as an appendix.

- **Item 4.1:** Is there an Image Processing System Policies & Procedures manual? A copy of the manual may be submitted or made available for review during the site visit.
- **Item 4.2:** Indicate whether the system has an open architecture at the Application Program Interface level. NJAC 15:3-4.3(g) & (h) requires that the current system architecture (database, operating system, and network) be *Open* (nonproprietary or interchangeable with many manufacturers) not *Closed/Proprietary* (locked into one manufacturer's product(s)).

NEW JERSEY PUBLIC RECORDS

IMAGE PROCESSING SYSTEM EVALUATION FORMS INSTRUCTIONS

- **Item 4.3:** Indicate the applicable hardware configuration for the image processing system for both the image capture and storage and retrieval. This includes server/mainframe units, desktop PCs, local area network (LAN) devices, wide area network (WAN) devices, storage area network (SAN) devices, network attached storage (NAS) devices, and scanners. Please note there is a commercial standard off-the-shelf (COTS) systems and equipment. Please include the manufacturer and model numbers for all equipment.
- **Item 4.4:** Indicate the software and version that will be utilized for capture, storage, and retrieval, as well as the operating system software for the image processing system.
- **Item 4.5.1:** Indicate the type of data storage media that is being utilized
- **Item 4.5.1:** Indicate whether your agency will be retaining the original paper documents or have archival quality microfilm created from the digital images as additional backup for long term (retention ≥ 10 Years) and permanent imaged records. One or the other is required to be able to destroy long term and permanent records. Please note that some records are deemed permanent and historical and as such the original paper may never be destroyed. Examples include minutes, ordinances, resolutions, and vital statistics.
- **Item 4.6:** Indicate that your agency creating and storing the imaged records as a TIFF Group III or IV files. If your agency's systems does not do this, the system developer shall provide completely documented and tested procedures and techniques for the conversion of images and data in compliance with these standards.
- **Item 4.7:** Indicate the resolution at which your agency is scanning the documents. A minimum of 200dpi and 300dpi is required for small format documents and large format documents respectively.

5. QUALITY CONTROL (N.J.A.C. 15:3-5.5(E)4VIII & IX):

Every image must be visually inspected for quality control.

- **Item 5.1:** A scanned images log must be kept noting the scanner operator (full name) and the date. This log must be kept as long as the records must be retained.
- **Item 5.2:** Hardware and software error must be kept for the duration of the system.
- **Item 5.3:** Please note any additional quality control procedures.

6. DATA MIGRATION(N.J.A.C. 15:3-5.5(E)7):

An agency needs a strategy for making certain that public records that they are imaging today will be accessible, retrievable, and readable in the future. Your agency should either attach documentation or stipulate in the space provided a data migration statement. Further information is available at www.njarchives.org/links/imgcertification.html#dm.

NEW JERSEY PUBLIC RECORDS

IMAGE PROCESSING SYSTEM EVALUATION FORMS INSTRUCTIONS

7. DISASTER PREVENTION/RECOVERY(N.J.A.C. 15:3-5.5(E)5 & 6):

A written Disaster Prevention/Recovery (DPR) plan is required. It may be submitted as an attachment to the Image Processing System Evaluation form or made available for review during the site visit. Consider the items in the section to the outline of a more fully fleshed-out DPR.

- **Item 7.1:** Is a Disaster Prevention/Recovery plan attached?
- **Item 7.2:** How often is the DPR tested and reviewed – monthly, annually, or some other interval?
- **Item 7.3:** Where is the offsite storage facility being utilized for backup media (paper, magnetic media, optical media, and/or microfilm) located? It is recommended that this facility be at least five (5) miles from where the imaging system is located. Other geographic considerations may have to be accounted for (e.g. If even at 5 miles apart they are within the same coastal flood plain, they will need to be located farther apart).
- **Item 7.4:** Indicate how often the image processing system is backed-up.
- **Item 7.5:** Indicate how often the magnetic and optical media are refreshed (recopied).
- **Item 7.6:** Indicate whether your agency has established a facility to be a “Hot Site” or “Cold Site” in event of a disaster.
 - A “Hot Site” is a facility that is fully outfitted with furniture and equipment, where an agency can bring its back up tapes/disks, load them to existing hardware that is in-place, and bring it’s system back up again.
 - A “Cold Site” is a facility that is essentially an empty shell or does not have the necessary furniture and equipment in-place. An agency would have to purchase or rent furniture and equipment to outfit the facility, then bring in the backup tapes/disks, load them to the hardware, and bring it’s system back up again.Such facilities may be commercial or a mutual cooperative agreement with a corporation or government agency. Often vendors have designated such hot and/or cold sites in advance. Similar to the requirements for an offsite storage facility, it is recommended that this facility be at least five miles from where the imaging system is located.
- **Item 7.7** Indicate whether your agency will be retaining the original paper documents or have archival quality microfilm created from the digital images as additional backup for long term (retention ≥ 10 Years) and permanent imaged records.

8. VENDOR SUPPORT (N.J.A.C. 15:3-5.5(E)9):

Items 8.1 - 8.3: Indicate whether the vendor or other source has been contracted to supply: technical support for hardware and software related questions and problems, staff training for hardware and software usage, and to supply copies of upgraded versions of software as they are released.

Items 8.4 - 8.6: Identify the appropriate information regarding vendor and its representative.

NEW JERSEY PUBLIC RECORDS

IMAGE PROCESSING SYSTEM EVALUATION FORMS INSTRUCTIONS

9. AGENCY VERIFICATION(N.J.A.C. 15:3-5.5(E)10):

Having completed sections 1 through 8, this section attests to the truthfulness and accuracy of the information provided and serves as additional support (used in conjunction with the Request and Authorization for Records Disposal form) for hardcopy disposal for records that have been scanned. The area is reserved for the signatures of the requesting agency's legal custodian (mandatory), agency/MIS representative (optional), and the vendor's representative (optional).